

Attorney Docket No. DOCM-002/01US

PATENT

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By:

Dolores McKay

Dolores McKay

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Victor Spivak, et al.

Serial No.: 09/815,591

Examiner: Not Yet Assigned

Filed: March 23, 2001

Rec'd Unit: 2182

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Confirmation No.: 5572

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FEB 03 2003
GROUP 3600*

JAN 29 2003

Technology Center 2100

For: **METHOD AND APPARATUS FOR GENERATING METADATA FOR A DOCUMENT**

Commissioner for Patents
Washington, D.C. 20231

**SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
TRANSMITTAL**

Enclosed is an Information Disclosure Statement and accompanying Form PTO/SB/08 for the above-identified patent application.

- In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- In accordance with 37 C.F.R. §1.97(c), also enclosed is:
 - the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
 - a statement as specified in 37 C.F.R. §1.97(e).
- In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. § 1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- Check No. ___ in the amount of \$___ for the total fee is attached.

[] Please charge \$__ to Deposit Account No. 03-3117 for the total fee. This paper is being submitted in duplicate.

The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 03-3117.

Dated: Jan. 24, 2003

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Attorney Docket No. DOCM-002/01US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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GROUP 360

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For: METHOD AND APPARATUS FOR GENERATING METADATA FOR A DOCUMENT

Technology Center 2100

Commissioner for Patents
Washington, D.C. 20231

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(b)

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56, Applicant(s) hereby submits the following information in conformance with 37 C.F.R. §§1.97 and 1.98.

- Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08 is enclosed.
- No copies of the publications listed on the attached Form PTO/SB/08 are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. ____ to which the above-identified application claims priority under 35 U.S.C. §120.
- Publications listed on the attached Form PTO/SB/08 were cited in a foreign search or examination report corresponding to International Application No. PCT/US 01/40363 and mailed on May 12, 2002. A copy of the International Search Report is enclosed.
- Enclosed is a copy of a non-English publication(s) **F1**. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s). Publication (**F1**) claims priority to publication (**P1**), of copy of which is submitted herewith.

- Enclosed is a copy of a non-English publication(s) ____ English language publication ____ (copy enclosed) claims priority from this non-English publication.
- Enclosed is an explanation of non-English publication(s) ____ for which an English translation is not available.
- Enclosed is an English translation of non-English publication(s) ____ cited in the attached Form PTO/SB/08.
- Enclosed is a copy of pending patent Application Serial No. ____.

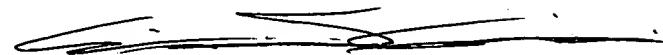
This Information Disclosure Statement is filed within any one of the following time periods:

- within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- within three months from the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in this international application;
- before the mailing date of a first office action on the merits; or
- before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.

It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08 to the undersigned.

Dated: Jan, 24, 2003

Respectfully submitted,
COOLEY GODWARD LLP



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PTO/SB/08A (08-00)

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|---|---|----|---|--------------------------|------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | <i>Complete if Known</i> | |
| Sheet | 1 | of | 1 | Application Number | 09/815,591 |
| | | | | Filing Date | March 23, 2001 |
| | | | | First Named Inventor | Victor Spivak |
| | | | | Group Art Unit | 2182 |
| | | | | Examiner Name | Not Yet Assigned |
| | | | | Attorney Docket Number | DOCM-002/01US |

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U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY |
|--------------------|-----------------------|----------------------|--------------------------------------|---|--|
| | | Number | Kind Code ² (if known) | | |
| P1 | 6,457,026 B1 | | | Graham et al. | 09-24-2002 |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | T ⁶ |
|--------------------|-----------------------|-------------------------|---------------------|--------------------------------------|---|--|----------------|
| | | Office ³ | Number ⁴ | Kind Code ⁵ (if known) | | | |
| F1 | DE | 19859180 A1 | | | Ricoh Co., Ltd. | 06-24-1999 | |
| F2 | WO | 99/57659 | | | DataFusion, Inc. | 11-11-1999 | |
| F3 | WO | 00/51024 | | | TexTray Ltd. | 08-31-2000 | |
| | | | | | | | |
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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

| | | |
|-----------------------|---|----------------|
| Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| D1 | Elizabeth D. LIDDY, et al., "Linguistic-Conceptual Approach to Document Detection," <i>Syracuse University, Text Retrieval Conference (TREC-1)</i> (NIST-SP-500-207), XP000892980, 1993, pages 113-129. | |
| | | |

| | |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number.

² See attached Kinds of U.S. Patent Documents.

³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

⁶ Applicant is to place a check mark here if English language Translation is attached.